

PTO/SB/17 (01-03)

Approved for use through 04/30/2003. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL
for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant Claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$180.00)**

Complete if Known

RECEIVED

Application Number	09/863,422
Filing Date	May 24, 2001 FEB 17 2004
First Named Inventor	Norcott
Examiner Name	Ali M.
Art Unit	2177
Attorney Docket No.	50277-1006

Technology Center 2100

METHOD OF PAYMENT (check all that apply)☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None☐ Deposit AccountDeposit
Account
NumberDeposit
Account
Name

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Credit any overpayments☐ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee

to the above-identified deposit account.

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$)**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20**=	X	
Multiple Dependent	-3**=	X	

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

** or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053		Non-English specification	
1812	2,520	1812		For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804		Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805		Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451		Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460		Petitions to the Commissioner	
1807	50	1807		Processing fee under 37 CFR 1.17(n)	
1806	180	1806		Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802		Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$180.00)**SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)

Stephen C. Carlson

Registration No.
(Attorney/Agent)

39929

Telephone

703-425-8516

Signature

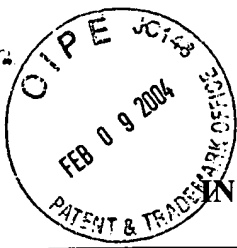
Date

February 6, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 37 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

William D. NORCOTT

Application No.: 09/863,422

Filed: May 24, 2001

Attorney Docket No.: 50277-1006

Client Docket No.: OID-2001-010-01

Examiner: Ali, M.

Group Art Unit: 2177

RECEIVED

FEB 17 2004

Technology Center 2100

For: SYNCHRONOUS CHANGE DATA CAPTURE IN A RELATIONAL DATABASE

Assistant Commissioner for Patents
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

- ☐ Under 37 CFR § 1.97(b): (1) Within three months of filing of national application; (2) Within three months of date of entry of the national stage as set forth in § 1.491 in an international application; (3) Before mailing of a first Office action on the merits; or (4) Before mailing of a first Office action after the filing of a request for continued examination under § 1.114.
- ☒ Under 37 CFR § 1.97(c): After the period specified in § 1.97(b) but before the mailing date of either a final action under § 1.113 or a notice of allowance under § 1.311, whichever occurs first, and accompanied by either:
- ☐ (1) A statement under § 1.97(e) as set forth below, or
- ☒ (2) A \$180.00 fee under 37 CFR 1.17(p).
- ☐ Under 37 CFR § 1.97(d): After the period specified in § 1.97(c) but on or before payment of the issue fee, and accompanied by:
- ☐ (1) A statement under § 1.97(e) as set forth below,
- ☐ (2) A petition requesting consideration of the IDS, and
- ☐ (3) A \$130.00 petition fee set forth in 37 CFR 1.17(i)(1).

02/12/2004 TBESHAH1 00000129 09863422

01 FC:1806

180.00 OP

Statement under 35 CFR § 1.97(e):

- ☒ Not necessary, because this IDS is filed under § 1.97(b) or § 1.97(c)(2).
- ☐ Each item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- ☐ No item of information contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in § 1.56(c) more than three months prior to the filing of this IDS.

Form PTO 1449–Information Disclosure Citation is attached with copies of patents, publications, or other information of which Applicant is aware, which may be material to the examination of this application, and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

It is requested that the information disclosed herein be considered and made of record in this application.

Respectfully submitted,

DITTHAVONG & CARLSON, P.C.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Alexandria, VA 22313-1450.

Date of Deposit: 02/06/2004

Signature:

Typed or Printed Name: Linda V. Wiley

Margo Livesay Reg # 41,946 (Margo Livesay)
Stephen C. Carlson
Attorney/Agent for Applicant(s)
Reg. No. 39929


Date: February 6, 2004

Telephone No.: 703-425-8516

PTO/SB/08A (10-96)
Approved for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
collection of information unless it displays a valid OMB control number.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO <div style="text-align: center;">  </div> <h2 style="text-align: center; margin: 10px 0;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="text-align: center; margin-top: 10px;"><i>(use as many sheets as necessary)</i></p>		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: center; padding: 5px;">Complete if Known</th> </tr> <tr> <td style="width: 50%; padding: 5px;">Application Number</td> <td style="padding: 5px;">09/863,422</td> </tr> <tr> <td style="padding: 5px;">Filing Date</td> <td style="padding: 5px;">May 24, 2001</td> </tr> <tr> <td style="padding: 5px;">First Named Inventor</td> <td style="padding: 5px;">Norcott</td> </tr> <tr> <td style="padding: 5px;">Group Art Unit</td> <td style="padding: 5px;">2177</td> </tr> <tr> <td style="padding: 5px;">Examiner Name</td> <td style="padding: 5px;">Ali M.</td> </tr> <tr> <td style="padding: 5px;">Attorney Docket Number</td> <td style="padding: 5px;">50277-1006</td> </tr> </table>		Complete if Known		Application Number	09/863,422	Filing Date	May 24, 2001	First Named Inventor	Norcott	Group Art Unit	2177	Examiner Name	Ali M.	Attorney Docket Number	50277-1006
Complete if Known																	
Application Number	09/863,422																
Filing Date	May 24, 2001																
First Named Inventor	Norcott																
Group Art Unit	2177																
Examiner Name	Ali M.																
Attorney Docket Number	50277-1006																

[illegible]

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231